

17698 U.S. PTO  
032604

PATENT

Docket No. IL-11255

Customer No. 24981

Commissioner for Patents  
Alexandria, VA 22313-1450

### NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):  
**Patrick R. Buckley, Duncan J. Maitland**

For (title): **SHAPE MEMORY SYSTEM WITH INTEGRATED ACTUATION  
USING EMBEDDED PARTICLES**

16834 U.S. PTO  
10/810422  
032604

1. **Type of Application**

☒ This new application is for an original patent.

☐ This new application is a:

☐ Division

☐ Continuation

☐ Continuation-in-part (CIP)

2. **Benefit of Prior U.S. Application(s) (35 USC 120)**

☐ The new application being transmitted claims the benefit of prior  
U.S. application(s).

3. ☐ **Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed  
below:**

Application Serial No.

Filing Date

4. **Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).**

19 Pages of specification w/ title page

10 Pages of claims

1 Pages of abstract

4 Sheets of drawings

☒ formal

5. **Additional papers enclosed**

☐ Preliminary Amendment

☒ Information Disclosure Statement

☒ Form PTO-1449

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**6. Declaration or oath**

- ☒ Enclosed and executed by
- ☒ inventors
- ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

**7. Assignment**

- ☒ An assignment of the invention to The Regents of the University of California.
- ☒ is attached
- ☐ will follow

**8. Certified Copy**

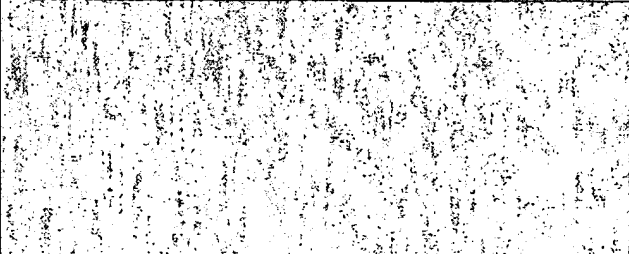
Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

**9. Fee Calculation**

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	93	-20 =	73	x \$18 =	\$ 1,314.00
Independent Claims	3	-3 =	0	x \$86 =	\$
				Multiple Claims	= \$
				Basic Filing Fee	= \$ 770.00
				Sub-Total	= \$ 2,084.00
				Small Entity Filing Fee	= \$ 1,042.00

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**10. Small Entity Statement(s)**

☐ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.

☒ Small Entity status is proper and desired

Filing Fee Calculation (50% of regular filing fee) \$ 1,042.00

**11. Fee Payment**

☐ Not Enclosed

☒ Enclosed (See Account No. Below)

**Total Basic Filing Fees To Be Paid** \$ 1,042.00

**12. Method of Payment of Fees**

☐ Check in the Amount of \$ \_\_\_\_\_

☒ Charge Account No. 12-0695 in the amount of \$ 1,042.00

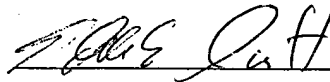
A duplicate of this transmittal is attached.

**13. Instructions As To Overpayment/Underpayment**

☒ credit/charge

Account No. 12-0695

☐ refund



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Dated: March 26, 2004

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Patrick R. Buckley, et al.

Attorney Docket No. : IL-11255

Serial No. :

Art Unit:

Filed :

Examiner:

For : SHAPE MEMORY SYSTEM WITH INTEGRATED ACTUATION  
USING EMBEDDED PARTICLESCommissioner for Patents  
Alexandria, VA 22313-1450EXPRESS MAIL CERTIFICATE"Express Mail" label number EV108179339USDate of Deposit March 26, 2004I hereby certify that the following *attached*

1. Recordation Cover Sheet (original and duplicate) w/ Assignment
2. New Application Transmittal (in duplicate)
3. Application  
(Specification w/ Title page 19 pages, Claims 10 pages, Abstract 1 page)  
Four (4) sheets of formal drawings;
4. Combined Declaration and Power of Attorney
5. Information Disclosure Statement (1 page)
6. Form PTO-1449 (1 page)
  - a) 14 U.S. Patent Documents
  - b) 15 Other Disclosures
7. Express Mail Certificate
8. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathy E. Raymond

(Type or print name of person mailing paper)

Kathy E. Raymond

(Signature of person mailing paper or fee)